STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions)

2015

		Item	1st QTR	2nd QTR	3rd QTR	4th QTR	Total
REVENUE							
1.	Commissions:						
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,662	$2,456	$2,571	$2,505	$10,194
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	1,056	952	972	927	3,907
	c. Commissions on listed option transactions	3938	505	474	541	457	1,977
	d. All other securities commissions	3939	1,632	1,653	1,608	1,687	6,580
	e. Total securities commissions	3940	5,855	5,535	5,692	5,576	22,658
2.	Gains or losses on firm securities trading accounts	3950	4,257	2,306	665	(291)	6,937
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	(147)	(209)	261	(176)	(271)
3.	Gains or losses on firm securities investment accounts	3952	64	82	(171)	65	40
4.	Profits or losses from underwriting and selling groups	3955	6,373	7,288	4,842	4,128	22,631
5.	Margin interest	3960	1,701	1,787	1,777	1,851	7,116
6.	Income from sale of investment company shares	3970	1,678	1,708	1,593	1,540	6,519
7.	Fees for account supervision, investment advisory and administrative services	3975	9,959	10,393	10,232	10,474	41,058
8.	Revenue from research services	3980	26	33	34	46	139
9.	Other revenue related to securities business	3985	8,717	9,246	9,184	9,227	36,374
10.	Commodities revenue	3990	653	423	566	493	2,135
11.	Other revenue unrelated to securities business	3995	4,326	3,706	4,357	3,890	16,279
12.	Total revenue	4030	$43,609	$42,507	$38,771	$36,999	$161,886
EXPENSES							
13.	Registered representatives' compensation	4110	$9,191	$9,153	$8,621	$8,634	$35,599
14.	Clerical and administrative employees' expenses	4040	10,260	9,657	8,095	8,129	36,141
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	364	369	383	379	1,495
16.	Other employee compensation and benefits	4115	54	55	55	51	215
17.	Commission paid to other brokers	4140	70	65	54	48	237
18.	Floor brokerage paid to certain brokers	4055	178	197	199	179	753
19.	Commissions and clearance paid to all other brokers	4145	1,257	1,251	1,299	1,223	5,030
20.	Clearance paid to non-brokers	4135	876	626	798	762	3,062
21.	Communications	4060	1,327	1,395	1,340	1,409	5,471
22.	Occupancy and equipment costs	4080	1,459	1,278	1,314	1,379	5,430
23.	Promotional costs	4150	337	369	339	422	1,467
24.	Interest expense	4075	3,263	3,202	3,484	3,312	13,261
25.	Losses in error account and bad debts	4170	169	68	22	48	307
26.	Data processing costs (including service bureau service charges)	4186	469	466	460	459	1,854
27.	Non-recurring charges	4190	0	0	1	20	21
28.	Regulatory fees and expenses	4195	460	413	422	411	1,706
29.	Other expenses	4100	7,333	9,223	8,682	10,311	35,549
30.	Total expenses	4200	$37,067	$37,787	$35,568	$37,176	$147,598
NET INCOME							
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$6,542	$4,720	$3,203	($177)	$14,288
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$286,692	$288,155	$287,181	$282,609	
	Number of Firms Profitable		105	106	92	86	
	Number of Firms Loss		44	44	49	54	
	TOTAL NUMBER OF FIRMS		149	150	141	140	